Title: Create Funds Payable	Process Number
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)	**FO.3.1**

1. Process Definition *Provide an overview of the process and define its starting and ending points*

1.1 Starts With	Request for disbursement.
1.2 Process Overview	A funds payable is established. At a minimum, a funds payable system should contain the following: • Payment ID – unique identifier of payment • Payment description – unique description of payment (e.g., alimony, mortgage, beneficiary payment) • Payee information – name, address, etc. • Payment amount – amount to be paid either one time or on a regular basis • Effective date – date payment is to start • Payment date – date of one time or recurring payment (e.g., 19th of every month, fourth business day after the close of the quarter) • Termination date – date on which the payment ends, although a payment may still be due after this date • Related accounts and amounts to be deducted from the accounts • Payment type • Frequency – one time, monthly, quarterly, etc. • Penalties – late payment, violation of agreement, etc. The funds payable system also provides anticipated future liabilities, which are necessary information for investment and beneficiary quarterly statements. In general, whoever sets up a payment is responsible for creating and maintaining the affected accounts. This means that the funds payable system is usually updated by program offices or beneficiary servicing offices that record what needs to be paid in the future such as rentals, mortgages, nursing homes or alimony/ child support payments. The suspension of a payment and a reason code is also recorded by whoever set up the payment in the funds payable system.
1.3 Stops With	A funds payable.

2. Trust Business Objectives *Identify the Comprehensive Trust Model strategic goals and business objectives to which this process contributes.*

Goal/Objective
To disburse funds in a timely, accurate, effective and efficient manner.

Title: Create Funds Payable	Process Number
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)	**FO.3.1**

3. How should Beneficiaries be involved in this process?

Beneficiary Involvement
Request disbursement.

4. Organizations, Offices and Roles. *Identify the DOI organizations and related roles that should be involved in performing the process.*

4.1 DOI Organizations. *Identify the DOI organizations, offices and individual roles that contribute to this process.*
DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others.
Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc.
All individual roles that contribute, in a significant manner, should be identified.

Organization	Office	Role	Contribution
BIA	Agency/Regional Office		Create funds payable and provide documentation electronically
			Review & approve supporting documentation
			Submit requests for transfers of fund balances from one account to another
			Provide royalty revenue information
OST	Field Operation		Create funds payable and provide documentation electronically
			Review & approve supporting documentation
			Submit requests for transfers of fund balances from one account to another
OST	Field Operations Regional		Approve a funds payable request within certain dollar thresholds
			Make judgment regarding non-routine transactions within policy guidelines
			Document any judgment calls

Title: Create Funds Payable	Process Number
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)	**FO.3.1**

Organization	Office	Role	Contribution
Tribes	Compact & Contract		Initiate request for funds payable and provide documentation electronically
			Review and approve supporting documentation
			Submit requests for transfers of fund balances from one account to another

4.2 Non-DOI Organizations. *Identify the non-DOI organizations that support the execution or control of this process.*

External Organization	Contribution
None	

5. Event(s) *Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).*

Event	Description	Estimated Frequency
Receive a request for disbursement	A request to disburse funds requires a funds payable be created	Daily

6. Inputs and Outputs. *Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.*

6.1 Inputs

Input	Description
Request to disburse funds	Usually received by program office or beneficiary servicing office staff person

Title: Create Funds Payable	Process Number
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)	**FO.3.1**

6.2 Outputs

Output	Description
Funds payable	Files created by program office or beneficiary servicing office required to disburse funds

7. Fiduciary and Legal Obligations and Controls

7.1 Obligations
Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.

Obligation	Source	Business Impact
Regulations governing beneficiary accounts	25 CFR 115	Guidelines for management of trust funds for beneficiaries
Leasing on trust assets relate to bonuses, damages and fees	25 CFR 211.24	Collection and disbursement for beneficiary accounts
Rights of Way: compensation for granting of easements and deposits for survey damages	25 CFR 169.14	Collection and disbursement for beneficiary accounts
Treasury regulations	Intra-governmental accounting guidance	Disbursing authority Safeguarding and disposal of checks

7.2 Controls
Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).

Control	Reason	Description
GAAP	External	Generally Accepted Accounting Principles
Office of Controller of the Currency Standards	External	Trust standards
Internal Control	Internal	Peer review, sampling, management control review, QA

Title: Create Funds Payable	**Process Number**
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)	**FO.3.1**

Control	Reason	Description
Reconciliation	Internal	Reconcile disbursement balance to subsidiary accounts
Audits	External	Ensure adherence to policies and procedures
Service levels	Internal	Ensure tasks have been performed within allowable limits
Risk assessment	Internal	Measurement of quality assurance
Federal Financial Accounting Standards	External control	Issue by Federal Accounting Standards Advisory Board

8. Mechanisms (Systems of Record) *Identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.*

System Name	Support
Funds payable system	Contains information about payees
Trust accounting system	Contains information and balances for trust accounts

9. Inter-Process Relationships *Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.*

9.1 Predecessors. *Predecessors are processes that either produce information required by this process or that result in the need to execute this process.*

Process No.	Name	Condition of Relationship
B.6.3.1	Beneficiary Accounts Administration	Request disbursement and document
B.6.3.3	Payable Administration	Request an account transfer
O.3.3	Close Probate Case	Request a probate disbursement
O.1.5	Close Transactions	Request an account transfer

<table>
<tr><td colspan="2">**Title: Create Funds Payable**
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)</td><td>**Process Number**
FO.3.1</td></tr>
</table>

Process No.	Name	Condition of Relationship
UM.3.2	Contract for Support Activity	Request a disbursement and document
UM.2.8.1	Modify Land Use Contract	Request an account transfer
UM.2.9	Close Land Use Contract	

9.2 Successors. *Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.*

Process No.	Name	Condition of Relationship
FO.3.2	Create Pre-Disbursement File	

10. Comments *Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)*

Category	Comment
Issue	What is the document retention policy for paper & electronic records?
Recommendation	Beneficiary payments should be electronic transfer in the future
Recommendation	Imaging will be necessary to reduce faxes
Issue	How do we ensure the performance bonds are valid bonds? From the past, many bonds had been invalid when the penalty came to take place.